

CHANGES APRIL 1, 2004 THROUGH JANUARY 31, 2005

TITLE 17—COMMODITY AND SECURITIES EXCHANGES

Title 17 Nomenclature change.....	18803
Chapter I—Commodity Futures Trading Commission (Parts 1—199)	
1.10 (c), (e)(1), (2) and (f)(2) amended	41425
(b)(1), (2)(i), (c), (d)(4), (e) and (f) revised.....	49795
(c)(3) and (f)(1)(ii)(B) corrected; (j)(8)(ii) correctly revised.....	55949
1.12 (i)(1) amended	41426
(a)(1), (b)(1), (2), (3), (4), (c), (d), (e), (f), (h) and (i)(1) revised	49797
1.16 (d)(1) amended.....	41426
(f) revised.....	49798
1.17 (h)(3)(vi) amended.....	41426
(a)(1)(i)(B), (b)(4), (e)(1)(i), (ii), (h)(2)(vi)(C)(I), (2), (vii)(A)(I), (2), (vii)(B)(I), (2), (vii)(A)(I), (2), (3)(ii)(A), (B), (v)(A), (B) and (vii) revised; (b)(7) and (8) added	49799
(a)(2)(ii) correctly amended	55949
1.18 (b) revised.....	49800
1.23 Amended.....	41426
1.30 Amended.....	41426
1.46 (a) introductory text revised	59545
4.13 (a)(3)(iii)(C) and (D) revised; (a)(3)(iii)(E) added	41426
15.00 (b)(1)(ii) revised	76397
15.02 Revised.....	76397
15.03 Revised.....	76397
16.00 (a)(4) and (b) revised.....	76398
16.01 (a)(2), concluding text and (d) revised; (b)(3) amended	76399
16.06 Revised.....	76399
16.07 (a) and (b) revised.....	76399
17.00 (a) heading, (g)(2)(i), (v), (vi), (xi) and (h) revised; (a)(1) added	76399
17.01 Introductory text, (e), (f) and (g) revised	76400
17.02 Revised.....	76400
17.03 (a) and (b) revised; (c) redesignated as (d); new (c) added	76400
17.04 (b) amended; (b)(1)(i) and (2) revised	76400
18.00 Revised.....	76400
18.02 Removed	76401
18.06 Removed	76401
19.00 (a)(1) revised; (a)(3) amended.....	76401
21.02a Removed	76401
30.4 (a) revised.....	49803
30.10 Existing text designated as (a); (b) added	49803
31.13 (c) and (e) amended.....	41426
36.3 (b)(1)(i), (ii) and (c)(2) revised; (b)(2) and (3) redesignated as (b)(3) and (4); (b)(1)(iii), (iv), new (2), (c)(1) heading and (3) heading added	43294
37.5 Revised.....	67815
38.3 Revised.....	67816
40.2 Revised.....	67504
40.3 (a)(4) and (5) revised; (a)(6) added	67505
40.5 (a)(1)(vi) and (vii) revised; (a)(1)(viii) added	67505
40.6 (a)(3)(iv) and (v) revised; (a)(3)(vi) added	67505
40.8 Existing text designated as (b); new (a) added	67505
40 Appendix D added	67505
41.23 (a)(4) and (5) revised; (a)(6) added	67507
41.24 (a)(3) and (4) revised; (a)(5) added	67507
410.2 Revised.....	41426, 67504
140.93 Heading amended; (a)(2) removed; (a)(3) through (6) redesignated as (a)(2) through (5); new (a)(4) corrected.....	2566
140.99 Second (d)(2) removed	41426
143 Authority citation revised	52997
143.1 Revised.....	52997
143.2—143.8 (Subpart A) Designation and heading added	52997
143.2 (c) revised	52997
143.7 (a) revised	52997
143.8 (a) revised	52995
143.9—143.10 (Subpart B) Added	52997
145.6 (a) revised	41426
145.7 (h)(3) amended; (j) redesignated as (i)(7); new (j) added	67507
145.9 (e)(2) revised	67507
145 Appendices A and B amended	67507
145 Appendix D removed	67508

NOTE: **Boldface** page numbers indicate 2004 changes.

CHANGES APRIL 1, 2004 THROUGH JANUARY 31, 2005

TITLE 17 Chapter I—Con.

171.1 (b)(4) amended; (b)(5) added	2352
190 Policy statement.....	69510
190.07 (b)(3)(v) amended.....	41427

Chapter II—Securities and Exchange Commission (Parts 200—399)

200.1—200.16 (Subpart A) Authority citation revised.....	34461
200.19a Introductory text amended.....	34461
200.30-3 (a)(7)(v) amended; (a)(7)(vi) added.....	34461
(a)(79), (80) and (81) added	34494
(a)(82) added.....	41078
(g) redesignated as (j); new (g), (h) and (i) added	41937
(a)(10)(iii) added.....	54190
200.30-5 (g) through and (k) redesignated as (i) through (m); new (g) and (h) added.....	41937
200.30-18 (c) redesignated as (c)(1); (c)(2) added	41938
200.735-5 (b)(1)(ii) and (iv) amended; (b)(1)(v) removed; (b)(1)(vi) redesignated as new (b)(1)(v); new (b)(1)(v) and (m)(3) revised	21058
210 Technical correction.....	3108
210.1-02 (a)(3) added.....	1593
210.2-01 (c)(7) introductory text amended.....	1593
210.2-02 Heading revised; (g) added	1593
210.2-07 (a) introductory text amended.....	1593
210.3-01 (e)(1)(ii), (iii), (i)(1)(i)(B), (C), (2)(i)(B), (C) and (ii) revised	68235
210.3-09 (b)(3)(i)(B), (C), (4)(i)(B) and (C) revised.....	68235
210.3-12 (g)(1)(i)(B), (C), (2)(i)(B) and (C) revised.....	68235
211 Interpretive releases.....	29066
Staff accounting bulletin	59130
228 Technical correction.....	3108
228.10 (a)(1)(iii) revised.....	1593
228.308 Amended.....	1593
228.401 Amended.....	1593
228.406 Amended.....	1593
229 Technical correction.....	3108
229.10 (d) introductory text amended.....	1593
229.202 Amended.....	1593
229.308 Amended.....	1594
229.401 Amended.....	1594
229.406 Amended.....	1594
229.501 Amended.....	1594
229.503 Amended.....	1594
229.512 (a)(1)(iii) concluding paragraph, (k) and (l) added	1594
229.601 Exhibit table and (b)(33) through (98) revised; (b)(31) redesignated as (b)(31)(i); (b)(31)(ii) added	1594
229.701 (e) amended.....	1597
229.1100—229.1123 (Subpart 229.1100) Added	1597
230 Technical correction.....	3108
230.139a Added.....	1615
230.146 (b)(1)(ii), (iii) and (2) revised; (b)(1)(iv) added.....	43298
230.167 Added.....	1615
230.190 Added.....	1615
230.191 Added.....	1615
230.411 (a) amended; authority citation removed	1616
230.426 Added.....	1616
230.434 (f) amended	1617
231 Interpretive releases	29066
232 Technical correction.....	3108
Authority citation revised.....	1617
232.10 (b) revised.....	22709
232.101 (a)(1)(ix) added.....	22709
(a)(1)(vii), (viii) and (ix) amended; (a)(1)(x) added; (c)(9) revised	60300
232.104 (a) revised	22709
232.201 (a) introductory text revised	22710
232.202 (a) introductory text revised	22710
232.301 Revised.....	21955, 49805
232.311 (j) removed.....	1617
232.312 Added.....	1617
239 Authority citation revised	33269, 39807
Technical correction	3108
239.11 Form S-1 amended	1617
239.12 Form S-2 corrected.....	48371
(i) added; Form S-2 amended	1618
239.13 Form S-3 corrected.....	48371
(a)(3)(ii) and Form S-3 amended; (a)(4) and (b)(5) revised	1618
239.14 Form N-2 amended; eff. in part 1-31-06	39808
Form N-2 amended	52801

NOTE: **Boldface** page numbers indicate 2004 changes.

CHANGES APRIL 1, 2004 THROUGH JANUARY 31, 2005

239.15A Form N-1A amended	22312,	
	33269, 49807, 52799	
Form N-1A amended; eff. in part 1-31-06	39808	
239.17a Form N-3 amended	22314, 52802	
Form N-3 amended; eff. in part 1-31-06	39809	
239.17b Form N-4 amended	22316	
239.17c Form N-6 amended.....	22316	
239.18 Section and Form S-11 amended.....	1619	
239.31 (a) and Form F-1 amended	1619	
239.32 (i) added; Form F-2 amended.....	1620	
239.33 Introductory text and Form F-3 amended.....	1620	
239.63 Revised.....	22710	
240 Technical correction.....	3108	
240.3a12-12 Added	1620	
240.3b-3 Removed	48029	
240.3b-19 Added	1620	
240.10a-1 (c), (d), (e)(13) and authority citation removed.....	48029	
240.10a-2 Removed.....	48029	
240.10A-3 (c)(6)(i) amended.....	1620	
240.11Aa3-2 (b)(8) added; authority citation removed; eff. in part 5-9-05	60300	
240.12b-2 Amended.....	1620	
240.12b-15 Amended	1620	
240.12b-25 Heading, (a) and (b)(2)(ii) revised	1620	
240.13a-10 (j)(1)(i)(B), (C), (2)(i)(B) and (C) revised.....	68235	
(k) added.....	1621	
240.13a-11 (c) amended.....	1621	
240.13a-13 (b)(2) amended; (b)(3) added; authority citation removed	1621	
240.13a-14 (a) and (c) amended; (d) and (e) revised; (f) and (g) removed	1621	
240.13a-15 (a) amended.....	1621	
240.13a-16 (a)(2) and (3) amended; (a)(4) added	1621	
240.13a-17 Added.....	1621	
240.13a-18 Added.....	1621	
240.13k-1 Added.....	24024	
240.14a-101 Amended.....	39807	
240.15c2-8 (a) and (b) amended.....	1622	
240.15c3-1 (a)(7) undesignated center heading and (c)(13) undesignated center heading revised; (a)(7) text and (c)(13)		
		text added; (c)(15) amended; authority citation removed
	 34461
		240.15c3-1e Revised
		34462
		240.15c3-1g Added
		34467
		240.15c3-3A Amended
		54190
		240.15d-10 (j)(1)(i)(B), (C), (2)(i)(B) and (C) revised.....
		68236
		(k) added
		1622
		240.15d-11 (c) amended.....
		1622
		240.15d-13 (b)(2) amended; (b)(3) added; authority citation removed
		1622
		240.15d-14 (a) and (c) amended; (d) and (e) revised; (f) and (g) revised
		1622
		240.15d-15 (a) amended.....
		1622
		240.15d-16 (a)(2) amended; (a)(3) added
		1622
		240.15d-17 Added
		1622
		240.15d-18 Added
		1622
		240.15d-22 Added
		1623
		240.15d-23 Added
		1623
		240.17a-4 (b)(12) added.....
		34471
		240.17a-5 (a)(5) and (k) through (o) redesignated as (a)(6) and (l) through (p); new (a)(5) and (k) added
		34471
		240.17a-11 (b)(2) and (h) revised.....
		34472
		240.17a-12 (l) revised.....
		34494
		240.17Ad-20 Added
		70862
		240.17h-1T (d)(4) redesignated as (d)(5); new (d)(4) added
		34472
		240.17h-1T (d)(5) redesignated as (d)(6); new (d)(5) added
		34494
		240.17h-2T (b)(4) redesignated as (b)(5); new (b)(4) added
		34472
		240.17h-2T (b)(5) redesignated as (b)(6); new (b)(5) added
		34494
		240.17i-1 Undesignated center heading and section added
		34495
		240.17i-2 Added
		34495
		240.17i-3 Added
		34495
		240.17i-4 Added
		34495
		240.17i-5 Added
		34495
		240.17i-6 Added
		34495
		240.17i-7 Added
		34495
		240.17i-8 Added
		34495
		240.19b-4 Preliminary note and (j) through (m) added; (a), (e) introductory text and (f)(2) revised; eff. in part 5-9-05.....
		60300
		240.31-1 Removed
		41078
		240.31 Added
		41078
		240.31T Added (temporary)
		41080
		241 Interpretive releases.....
		29066, 48029

NOTE: **Boldface** page numbers indicate 2004 changes.

LSA—LIST OF CFR SECTIONS AFFECTED

CHANGES APRIL 1, 2004 THROUGH JANUARY 31, 2005

TITLE 17 Chapter II—Con.

242 Heading revised	48029	270.0-1 (a)(7) added	46389
Authority citation revised.....	1623	270.10f-3 (c)(3), (9), (12)(i) and (ii) amended; (c)(11) revised.....	46389
Technical correction	3108	270.12b-1 (c) revised	46389
242.100 (b) amended	1623	(a)(1), (2), (b)(2), (3)(iii), (iv), (B), (4), (e), (f) and (g) amended; (h) added	54733
242.105 (b) amended.....	48029	270.15a-4 (b)(2)(vii) revised.....	46389
242.200 Undesignated center heading and section added.....	48029	270.17a-7 (f) revised	46389
242.201 Added	48029	270.17a-8 (a)(4) revised	46389
242.202T Added; eff. 9-7-04 to 8-6- 07	48029	270.17d-1 (d)(7)(v) revised	46389
242.203 Added	48029	270.17e-1 (c) revised.....	46389
245 Technical correction.....	3108	270.17g-1 (j)(3) revised	46390
245.101 (c)(2), (9) and (10) amend- ed; (c)(11) added.....	1623	270.17j-1 (a)(1)(i), (2)(i), (d)(1)(i) introductory text, (ii) intro- ductory text, (iii) introduc- tory text and (2)(iv) revised; (a)(11) and (d)(2)(vi) added	41707
248 Authority citation revised.....	71328	270.18f-3 (e) revised	46390
248.1 (b) amended.....	71329	270.23c-3 (b)(8) revised.....	46390
248.2 (b) amended.....	71329	270.30a-2 (a) and (b) amended.....	52799
248.30 Heading revised; introduc- tory text, (a), (b) and (c) re- designated as (a) introduc- tory text, (1), (2) and (3); new (a) introductory text amend- ed; new (b) added.....	71329	270.31a-2 (a)(4) and (5) amended; (a)(6) added	46390
249 Technical correction.....	3108	274.11A Form N-1A amended	22312, 33269, 49807, 52799
249.11 Added	41080	Form N-1A amended; eff. in part 1-31-06	39808
249.220f Form 20-F amended.....	24024	274.11a-1 Form N-2 amended; eff. in part 1-31-06	39808
(a) revised; Form 20-F amend- ed	1625	Form N-2 amended	52801
249.240f Form 40-F amended.....	1625	274.11b Form N-3 amended	22314, 52802
249.308 Form 8-K corrected.....	48371	Form N-3 amended; eff. in part 1-31-06	39809
Form 8-K amended	1623	274.11c Form N-4 amended	22316
249.308a Form 10-Q corrected.....	48371	274.11d Form N-6 amended	22316
(a)(1)(ii) and (iii) revised; Form 10-Q amended	68236	274.128 Form N-CSR amended	52804
249.308b Form 10-QSB corrected	48371	274.402 Revised	22711
249.310 Form 10-K corrected.....	48371	275 Authority citation amended	41707
(b)(1)(ii) and (iii) revised; Form 10-K amended	68236	275.202(a)(11)(T) Added	2715
Form 10-K amended	1625	275.203 (b)(3)-1 revised	72087
249.310b Form 10-KSB amended	1625	(b)(3)-2 added	72088
249.312 Section and Form 10-D added	1625	275.203A-3 (a)(4) revised	72088
249.322 (a) revised	1630	275.204-2 (a)(12), (13) and (e)(1) re- vised	41707
Form 12b-25 amended.....	1630	(e)(3) redesignated as (e)(3)(i); (e)(3)(ii) and (l) added	72088
249.331 Form N-CSR amended	52804	275.204A-1 Added	41708
249.446 Revised	22710	275.205-3 (c) redesignated as (c)(1); (c)(2) added	72088
249.636 Correctly removed; CFR correction	67053	275.206(4)-2 (b)(3) revised; (c)(4) added	72088
249.819 Section and Form 19b-4 revised	60301	275.222-2 Revised	72089
259.602 Revised	22710	279.1 Form ADV amended.....	41709, 72089
269.7 Revised.....	22710		
270 Authority citation amended	46389		

NOTE: **Boldface** page numbers indicate 2004 changes.

CHANGES APRIL 1, 2004 THROUGH JANUARY 31, 2005

Chapter IV—Department of the Treasury (Parts 400—499)

403 Authority citation revised	33259
403.1 Revised	33259
403.4 (e) through (l) redesignated as (f) through (m); new (e) added	33259

Proposed Rules:

1	39880, 64873
15.....	26333
16.....	26333
17.....	26333
18.....	26333
19.....	26333
21.....	26333
30.....	1799
37.....	53367
38.....	39880, 53367
40.....	44981
41.....	44981
145.....	44981
150.....	33874
171.....	62226
200—399 (Ch. II)	46117
200	30142, 77424
.....	1503
201.....	77424
.....	1503
210.....	26650, 30750, 53550
228.....	26650, 30750, 35982, 59094, 62426, 67392, 75774
229.....	26650, 30750, 35982, 59094, 62426, 67392, 75774
230.....	21650, 25182, 26650, 30142, 30750, 67392, 75774, 77424
.....	1503
232.....	17864, 23856, 26650, 30750, 34860, 59094, 62426
239.....	21650, 25182, 26650, 30750, 67392
240.....	17864, 21650, 23856, 25182, 25778, 26650, 30142, 30750, 32784, 34860, 35982, 39682, 44988, 53550, 59094, 62426, 67392, 71126, 71256, 75774, 77424
.....	1503, 2829
242.....	26650, 30142, 30750, 39682, 44988, 71126, 75774, 77424
.....	1503, 2829
243.....	67392
245.....	26650, 30750
247.....	42302
248.....	56304

249.....	17864, 21650, 23856, 25182, 26650, 30142, 30750, 34860, 53550, 59094, 62426, 71126, 77424
.....	1503, 2829
270.....	59094, 62426, 64816, 77424
.....	1503
274.....	67392
275.....	25778, 45172, 51620
.....	2716
279.....	25778, 45172, 51620
450.....	56968

TITLE 18—CONSERVATION OF POWER AND WATER RESOURCES

Title 18 Nomenclature change	18803
Chapter I—Federal Energy Regulatory Commission, Department of Energy (Parts 1—399)	
1b.21 (f) revised	32438
4.303 (a)(2) and (e)(2) amended	32438
11.3 (d) amended	32438
12 Authority citation revised	32438
12 Nomenclature change	32438
12.3 (b)(10) amended	32438
14 Appendix A revised	71364
33.6 Revised	32438
34.3 (k) revised	32438
35 Policy statement265
35.8 (b) revised	32438
36.1 (b)(1) revised	32438
141.400 (b)(2)(iv) and (3)(iv) redesignated as (b)(2)(vii) and (3)(vii); new (b)(2)(iv), (v), (vi), (vii), (3)(iv), (v) and (vi) added	32443
(b)(3)(i) corrected	34568
154.209 Revised	32438
157.6 (b)(7) revised	32439
157.205 (b)(5) revised	32439
260.300 (b)(2)(iv) and (3)(iv) redesignated as (b)(2)(vii) and (3)(vii); (b)(2)(iv), (v), (vi), (3)(iv), (v) and (vi) added	32443
292.207 (b)(4) revised	32439
300.10 (a)(1) revised	32439
342.3 (d)(2) amended	53801
357.4 (b)(2)(iv) redesignated as (b)(2)(vii); new (b)(2)(iv), (vi) and (viii) added	32444
358.1 (c) amended	23587
358.2 Revised	23587

NOTE: **Boldface** page numbers indicate 2004 changes.